AWARD CLOSEOUT GUIDANCE

Research Grants and Cooperative Agreements Supported by the Centers for Disease Control and Prevention (CDC)

June 10, 2010

The CDC has prepared these instructions to facilitate the preparation of the final reports by the Principal Investigator (PI) and the business office. These instructions do not replace or supersede any Department of Health and Human Services or CDC policies.

The required final reports are:

A. Final Progress Report
B. Final Financial Status Report
C. Final Invention Statement

The final reports must be sent to the Grants Management Officer (GMO). An original with two (2) copies and an electronic copy should be submitted. The GMO provides copies to the Program Official (PO). For information on where to send the final reports and the contact for additional information, see "Contacts" provided at the end of this document.

Research grantees are required to submit the final reports within 90 days of the project end date. This date is on the notice of grant award, and can also be obtained from the recipient organization's business office. Failure to submit timely and accurate final reports may affect future funding to the organization or awards for the PI. If final reports cannot be submitted within 90 days, please submit a written request and justification for an extension of the expiration date at least 10 days prior to the expiration date (per the PHS Grants Policy Statement). Otherwise, there is no guarantee that the extension request can be processed in time to avoid a letter of reprimand being sent. The request must be sent to the GMO identified in the notice of grant award, and the PI should follow-up to verify that the request has been received.

Also, note that grantees are required to acknowledge federally funded research support from the CDC in publications and in other media such as slide presentations or videos.

A. Final Progress Report:

The Final Progress Report is the most comprehensive and detailed report the PI prepares for the grant, providing a synthesis of the overall results from the project. The CDC uses this report as a principal reporting tool to inform the Congress, the Executive Branch, the CDC Director, and other stakeholders on the success and impact of CDC extramural research programs. The documentation of accomplishments and outcomes of the research is also needed information for the CDC to exercise proper stewardship of public funds and to document the value of federally sponsored research to public health. Thus, the CDC relies on the PI to provide a cogent and well-organized report that can be understood by a broad audience.

Although there is no required format for the Final Progress Report, the CDC has developed the following guidance, based on the HHS Grants Policy Statement and Awarding Agency Grants Administration Manual, to assist the PI in developing this report. The Final Progress Report is more extensive and definitive than the continuation application progress reports (PHS 2590). Suggested page limits for large, multi-year grants, such as R01s, are indicated at the end of each report section description. Briefer reports are appropriate for smaller grants. However, the report should not exceed 25 pages (exclusive of publications, inclusion data and data sharing information).

Final Report Guidance:

Title Page. The title page contains the PI's name, institution, laboratory or department, city, state, zip code, project title, date, grant number, project period, and if applicable, number of report, project director, co-investigators, and sponsors.

Table of Contents.

List of Abbreviations.

Abstract. The abstract is a summary of the project, less than two pages (one page is preferred), which states the public health issue addressed, the importance of the problem, the focus of the research, the approach, the key conclusions, and how the results may be used in practice or in pursuit of new research. This section summarizes the information from the rest of the report, and will be used to inform others about the key findings and importance of the project. The abstract should be a stand-alone document, suitable for distribution to a wide audience, including members of Congress, the Secretary of Health and Human Services, the CDC Director, and others. The CDC often uses this abstract without editing. (1-2 pages)

Significant Findings. Significant findings are the important conclusions of the project and should address the specific aims. The more important findings should be listed first. Each finding should be described in a separate paragraph. (2 pages)

Scientific Report. The scientific report should contain: background for the project, specific aims, procedures, methodology, results and discussion, and conclusions. More detail should be provided in this section than is included in the "Significant Findings" section. Each of the specific aims originally planned or added during the project should be addressed by describing both accomplishments and negative results to provide complete documentation of all efforts on the grant. Any information considered proprietary for commercial purposes should be labeled as such. (10-15 pages)

Translation of Research. When relevant to the goals of the research project, the PI should describe how the significant findings may be used to promote, enhance, or advance translation of the research to policy or practice. This section should be understandable to a variety of audiences, including policy makers, practitioners, public health programs, healthcare institutions, professional organizations, community groups, researchers, and other potential users. The PI should identify the research findings that were translated into public health policy or practice and how the findings have been or may be adopted in public health settings. Or, if they cannot be applied yet, this section should address which research findings may be translated, how these findings can guide future research or related activities, and recommendations for translation. Questions to consider in preparing this section include:

- What were the scientific findings translated into public health policy or practice?
- How did the project improve or effect the translation of research findings into policy or practice?
- What methods or approaches were used for translation?
- What phases (e.g. dissemination, implementation, diffusion, etc) in the process of translation were addressed by the project?
- What efforts or activities were undertaken to disseminate the research to intended end-users?
- What were the roles of partnerships in the research and the impacts of their participation and contributions?
- How will the research findings help promote or accelerate the dissemination, implementation, or diffusion of improvements in public health programs or practices?
- How do the findings advance or guide future research efforts or related activities?
  (2 pages)

Public Health Relevance and Impact. This section should address improvements in public health as measured by documented or anticipated outcomes from the project. The PI should consider how the findings of the project relate beyond the immediate study to improved practices, prevention or intervention techniques, legislation, policy, or use of technology in public health. Questions to consider in preparing this section include:

How did this project lead to improvements in public health?

- What are the impacts on risk from the findings, results, or recommendations?
- How have the findings, results, or recommendations been used to influence practices, legislation, procedures, methodologies, etc?
- How have the findings, results, or recommendations contributed to documented or projected reductions in morbidity, mortality, injury, disability, or disease?
  (2 pages)

Publications, Presentations, and Media Coverage. Any published or "in press" articles that have resulted from the grant support should be listed and annotated to describe how the articles relate to the specific aims. (Note that support from the CDC must be acknowledged in journal articles and presentations.) Presentations and any media coverage that resulted from the grant should be included, as well as other efforts to disseminate research findings. Please do not submit manuscripts or other restricted information. In addition, investigators are encouraged to inform the CDC PO of other publications resulting from this project as they are published after the final report is submitted.

Citations
References should be formatted according to an appropriate professional style manual. Electronic links to published articles, reports and other resources are also useful. References may include:

Journal articles
Books, book chapters
Proceedings
Dissertations and theses
Media, such as newspapers, magazines, television, radio, online articles

Inclusion of Gender and Minority Study Subjects. Use the gender and minority inclusion table provided in the PHS-2590, if applicable.

Inclusion of Children. Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see "Public Policy Requirements and Objectives—Requirements for Inclusiveness in Research Design—Inclusion of Children as Subjects in Clinical Research" and the PHS-398).

Materials Available for Other Investigators. Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that are available to be shared with other investigators and how it may be accessed.

B. Final Financial Status Report

Forms. The institution's business office will determine which form (SF-269 or SF-269A) should be used for the Financial Status Report (FSR). Follow the instructions provided on the form. Please provide an original and two (2) copies.

For those organizations receiving their funds through the Health and Human Services Payment Management System (PMS), final reports, as specified by PMS, must be submitted to that office. It is the responsibility of the grantee to reconcile reports submitted to PMS and to the CDC awarding office.

Long Form (SF-269) - (PDF) http://grants.nih.gov/grants/fsr_sf269_long.pdf
Short Form (SF-269A) - (PDF) http://grants.nih.gov/grants/fsr_sf269a_short.pdf

Requirement. A final FSR is required for any grant that is expired, terminated, transferred to a new grantee, or has modifications in the project requiring adjustment of funds. These include awards which will not be competitively extended through award of a new competitive segment.

Process.
The final FSR must:

- Cover the period of time since the previous FSR submission or as much of the competitive segment as has been funded prior to termination.
- Have no unliquidated obligations. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.
- Indicate the exact balance of unobligated funds. Unobligated funds must be returned to CDC/PGO or must be reflected by an appropriate accounting adjustment in accordance with instructions from the GMO or from the payment office.

Withdrawal of the unobligated balance following expiration or termination of a grant is not considered an adverse action and may not be appealed.

Where the submission of a revised final FSR results in additional claims by the grantee, the CDC will consider the approval of such claims subject to the following minimum criteria:

- The charges must represent allowable costs under the provisions of the grant.
- There must have been an unobligated balance for the given budget period that is sufficient to cover the additional claim. Such a claim may be considered regardless of whether the unobligated balance was moved forward to offset the award for a subsequent budget period.

- Funds must be available from the applicable appropriation.
- CDC/PGO must receive the revised FSR within 15 months of its due date.

A grantee with expanded authorities as indicated in the notice of award may request that the GMO approve a no cost extension of 12 months.

C. Final Invention Statement and Certification

Form. Final Invention Statement (HHS Form 568 - Fillable) - (PDF)

http://grants.nih.gov/grants/hhs568.pdf or http://grants.nih.gov/grants/hhs568.doc

Process. The grantee must submit a Final Invention Statement and Certification (HHS-568), whether or not an invention(s) results from work under the grant. The final invention statement/certification must be signed by the PI and the institution's authorized official. This document must list all inventions that were conceived or first actually reduced to practice during the course of work under the project, from the original effective date of support through the date of expiration or termination, whether or not previously reported. If there were no inventions, the statement should indicate "None".

CONTACTS FOR FINAL REPORTS

Send hard copies of Final Reports to the **Grants Management Officer** listed in the notice of award.

Send electronic copies of Final Reports to the **CDC Program Official**.

For questions, contact the Grants Management Officer or Program Official.

You may also contact the CDC Office of Extramural Research at 404-639-4621 or ophrinfo@cdc.gov.